



PATENT APPLICATION  
Attorney Docket Q68180

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of

ROBERTS, STEPHEN W.

Appln. No. 10/050,575

Group Art Unit: 2874

Confirmation No.: 7057

Examiner: Not yet Assigned

Filed: January 18, 2002

For: CONTROLLING BIREFRINGENCE IN AN OPTICAL WAVEGUIDE AND IN AN  
ARRAYED WAVEGUIDE GRATING

**INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. §§ 1.97 and 1.98**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure under 37 C.F.R. § 1.56, Applicant hereby notifies the U.S. Patent and Trademark Office of the documents which are listed on the attached Form PTO-1449 and/or listed herein and which the Examiner may deem material to patentability of the claims of the above-identified application.

One copy of each of the listed documents is submitted herewith.

The present Information Disclosure Statement is being filed: (1) No later than three months from the application's filing date for an application other than a continued prosecution application (CPA) under §1.53(d); and therefore, no Statement under 37 C.F.R. § 1.97(e) or fee under 37 C.F.R. § 1.17(p) is required.

In compliance with the concise explanation requirement under 37 C.F.R. § 1.98(a)(3) for foreign language documents, Applicant encloses herewith a copy of a Communication from a Foreign Patent Office in a counterpart application citing such documents, together with an

INFORMATION DISCLOSURE STATEMENT

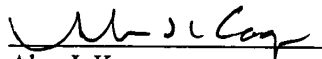
~~U.S. Appl. No. 10/050,575~~

English-language version (if not already included) of that portion of the Communication indicating the degree of relevance found by the foreign office.

The submission of the listed documents is not intended as an admission that any such document constitutes prior art against the claims of the present application. Applicant does not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

Respectfully submitted,

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Substitute for form 1449 A &amp; B/PTO

## INFORMATION DISCLOSURE

## STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet

1

of

1

Complete if Known

Application Number 10/050,575

Confirmation Number 7057

Filing Date January 18, 2002

First Named Inventor ROBERTS, STEPHEN W.

Art Unit 2874

Examiner Name Not yet Assigned

Attorney Docket Number Q68180

## U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
		Number	Kind Code <sup>2</sup> (if known)		
		US			
		US			
		US			
		US			
		US			

## FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Translation <sup>6</sup>
		Country Code <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)			

## OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city, and/or country where published.	Translation <sup>6</sup>
		FISCHER U. ET AL, "0.1 DB/CM Waveguide Losses In Single-Mode SOI Rib Waveguides", IEEE Photonics Technology Letters, IEEE Inc. New York, US, Vol. 8, No. 5, 1 May 96, pgs. 647-648	
		H. TAKAHASHI ET AL, "Polarization-Insensitive Arrayed-Waveguide Wavelength Multiplexer with Birefringence Compensating Film", IEEE Photonics Technology Letters, Vol. 5, No. 6, 1 June 1993 pgs. 707-709.	
		M. OKUNO ET AL; "Birefringence Control of Silica Waveguides on SI and its Application to a Polarization-Bram Splitter/Switch", Journal of Lightwave Technology, IEEE, New Your, US, Vol. 12, No. 4, 1 April 1994, pgs. 625-633	

Examiner Signature

Date Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov), MPEP 901.04 or in the comment box of this document. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to indicate here if English language Translation is attached.